

State of California, Secretary of State
Minutes of the CLAIMS Media/Interest User's Group Meeting
September 14, 1999
Secretary of State's Office, Sacramento, CA

In attendance were:

Alfie Charles, Communications
Caren Daniels-Meade, Political Reform Division
Steve Kawano, Information Technology Department
David Hulse, Political Reform Division
David Harris, Information Technology Department
Brian Gangler, Information Technology Department
John Keplinger, Political Reform Division
Wayne Cox, SAIC
Lisa Eichler, SAIC
Georgeen Newel, SAIC
Carla Wardlow, Fair Political Practices Commission
Jim Knox, California Common Cause
Craig Holman, Center for Governmental Advocates
Kim Alexander, California Voter Foundation
M. Gardner, Copley News
Virginia Crespo, League of Women Voters
Robert Salladay, San Francisco Examiner
Dan Weintraub, O C Register
Larry Sokol, State Senate
Cynthia Bryant, Senator Johnson
Steve Scott, California Journal
Dixie Howard, Fair Political Practices Commission
Trish Mayer, Fair Political Practices Commission
Lynda Cassady, Fair Political Practices Commission
Matt Reilly, State Assembly

Distributed were a copy of the PowerPoint presentation of the slides (which are incorporated into these minutes).

Introductions

■ Campaign & Lobbyist Automated Information Management System (CLAIMS) Team Members

- ◆ Caren Daniels-Meade, Chief, Political Reform Division (PRD)
- ◆ David Hulse, Project Manager, Political Reform Division (PRD)
- ◆ Steve Kawano, Project Manager, Information Technology Division (ITD)
- ◆ Wayne Cox, Project Manager, Science Applications International Corporation (SAIC)
- ◆ David Harris, Internet Developer, Information Technology Division (ITD)
- ◆ Lisa Eichler, Internet Developer, Science Applications International Corporation (SAIC)

Meeting Overview

Alfie Charles, Deputy Director of Communications, for the Secretary of State, presented the meeting overview:

■ Agenda

- ◆ SB 49 Requirements
 - ◆ What is being filed
 - ◆ What is being disclosed
 - ◆ Who is required to file electronically
- ◆ System Overview
- ◆ Provide an overview of the system's planned disclosure capabilities
- ◆ Project Status
- ◆ Disclosure Development

SB 49 Requirements

■ What is required to be filed electronically?

- ◆ All campaign and lobbying disclosure reports
- ◆ Secretary of State will manually enter candidate intention and campaign bank account forms into the CLAIMS system

■ What is being displayed on the Internet?

- ◆ All information filed with the Secretary of State beginning with the first pre-election report due on January 27, 2000
- ◆ Filing History contained within the Secretary of State's existing legacy data system

■ Who is required to file electronically?

- ◆ Candidates and their controlled committees and other persons required to file as required by Chapter 4 of the Political Reform Act:

Total Cumulative amount of contributions received, expenditures made, loans made or received is \$100,000 or more in election cycle. (As of 07/01/2000 the threshold drops to \$50,000 in an election cycle.)

- ◆ **General Purpose Committees (Recipient committee or Major Donors):**
Cumulatively receive contributions or make expenditures totaling \$100,000 or more in an election cycle to support or oppose candidates for any elective state office or state measure appearing on the primary ballot for 2000. (As of 07/01/2000, the threshold drops to \$50,000 in an election cycle.)
- ◆ **Slate Mailer Organization:**
Cumulative reportable payments received or made for producing slate mailers in connection with the Primary 2000 election is \$1000,000 or more in an election cycle. (As of 07/01/2000 the threshold drops to \$50,000 in an election cycle.)
- ◆ **Lobbyists, Lobbying Firms, Lobbyist Employers, or other persons required to file per Chapter 6 of the Political Reform Act:**
Total amount of in any of the following categories is \$1000, or more in a calendar quarter: reportable payments, expenses, contributions, gifts, or other items. (As of 07/01/2000, the threshold drops to \$5,000 in a calendar quarter.)
- ◆ **SOS plans to manually enter all paper filings that are not electronically filed**

CLAIMS System Overview

- CLAIMS is a project to enable electronic filing and public disclosure of Campaign and Lobbyist financial data using the Internet
 - ◆ Electronically file 30 FPPC forms
 - ◆ Display printable versions of the completed forms
 - ◆ Generate filing histories of all filers
 - ◆ Generate lobbyist directory from database
 - ◆ Support audits of the filings by SOS Staff, the Fair Political Practices Commission and the Franchise Tax Board
 - ◆ Allow for public queries against the database

Project Goals

- Provide the public with full and immediate financial disclosure for candidates and lobbyist via the Internet
- Provide an efficient agency management capability to allow for effective auditing and evaluation of filings
- Raise the bar for electronic campaign disclosure systems and maintain California's leadership in electronic filing and campaign disclosure
- Encourage voluntary electronic filing

Project Status

- Key Milestones and filing dates

- ◆ Begin accepting test filings – September 1999
- ◆ Development of Disclosure Queries & Interface – September 1999 to February 2000
- ◆ First electronic Campaign Filing 1st Pre-Election filing by January 27, 2000 (period covered January 1, 2000 to January 22, 2000)
- ◆ The first lobbyist electronic filing (first Quarterly Report – period ending 3/31/2000) by May 1, 2000

Disclosure Development

- Current plan is to provide access to all disclosure data in a standard tab-delimited format easily importable (except as identified below) and reports that are available to State agencies (SOS, FPCC and FTB) to the public as well
 - ◆ Provide searchable Adobe Acrobat PDF documents containing forms generated from the electronically-filed data (form Facsimile)
 - ◆ Query results provided on-screen and in a format that allows them to be imported into a database or spreadsheet (analysis Data)
- System will contain filing history data from legacy Campaign and Lobbyist System
 - ◆ Lobbyist system has current session and prior 2 sessions
 - ◆ Campaign system shows all filings received at SOS since 1974
 - ◆ Data will be maintained on-line for 10 years and then archived
- Building number, street name, and telephone numbers suppressed from public view (except for the lobbyist directory)
 - ◆ SB 1025 (pending on the Governor's desk) will allow for release of lobbyist, firm, and employer addresses in the Internet lobbyist directory

Public Disclosure

- Query System
 - ◆ Both simple and advanced user interfaces provided
 - ◆ Data provided back for viewing in the web browser or to be saved in a delimited text file
 - ◆ Java Script is needed for the advanced user interface
- Available information
 - ◆ Registration Information
 - ◆ Ability to identify filers and their disclosure reports
 - ◆ Linkage between filers (i.e., Candidates and their controlled committees)
 - ◆ Changes to registration information
 - ◆ Terminations
 - ◆ Contributions and Expenditure Information
 - ◆ Ability to search and export data from a single filing
 - ◆ Ability to search across and export data from multiple filings
 - ◆ Ability to search and export across multiple filers

- Summary information
 - ◆ Top expenditures and contributions
 - ◆ By candidate, committee, and contest
 - ◆ Top lobbying payments made by clients to firms
- Lobbyist Directory
 - ◆ Similar to current directory
 - ◆ Modified to support requirements of SB 1025 (legislation is pending on the Governor's desk)
 - ◆ Current at all times based on data filed with Secretary of State

Demonstration on Electronic Filing

Lisa Eichler took audience through a step-by-step demonstration of the various queries and search methods currently available. The various screens included: phrase match; match all words; match any word; begins with; and sounds like. We had a lot of very good questions regarding the filing process.

Q – Can you select more than one candidate at a time in a search in different race? I.e., make multiple selection, i.e., select multiple candidate by listing their names and multiple races like CVF's 1998 design?

A – Will look into.

Q – Can you search by subject? I.e., word searches like "tobacco" and get all information?

A – you would need to know the names of the tobacco industries.

Q – Can you search by occupation employer?

A – Yes

Q – Is there a budget for marketing/public education?

A – Not at the present time.

Q – Will the itemized contribution that result in the query be displayed in a table or tab delimited format?

A – Will be displayed in HTML with the option to download.

Q – When will late contribution reports be available.

A – Will be posted within 24-36 hours.

Q - Is there a way to issue unique identifiers for contributions listed in different ways, i.e., PG&E, vs Pacific Gas and Electric?

A – Will explain other search options in FAQ.

Q – Will SOS be tracking queries?

A – The only purpose for tracking would be for performance.

Q – Can user query, i.e., go to the all filings between X & Y and user fills in the X & Y?
A – We will try to design such an interface

Feedback

Discussion coordinated by Alfie Charles, Wayne Cox and David Hulse

At this point, the forum was opened for any discussion of related issues and the following items were discussed:

Group Wants to have an FAQ (frequently asked question) on website to address query formats, how amendments will be handled, and related issues.

Kim Alexander, California Voter Foundation—needed clarification concerning active candidates and the filing requirements for electronic filing for January 27, 2000 – David Hulse clarified that the activity level would have to be \$100,000 or more. Alfie also recommended for interpretation of SB 49, that the questions be addressed to FPPC.

SB 49 requires all electronic filings be filed in paper format. Secretary of States Office will manually enter all reports filed on-line. The time frame will depend on the size of the document. It is anticipated the time frame to be within a 24 hours. It was also noted that once a document is filed electronically, it would remain on-line for 10 years, then will be archived.

Kim Alexander also asked if there would be a link with the Elections Division's candidate database and Alfie Charles reassured audience that it would be hosted on the same hardware.

The building number, street name and telephone number will be suppressed under SB 49 from public view on the Internet. However, the system will allow query by zip codes. Information provided on the Internet will be the city, state, and zip codes only. The building number, street name and telephone number will be available on **all** paper documents filed with our office and will be available to the public. Please note that the space available for zip code will be for 9 digits, however, if documents are filed with 5 digits, then that's how it will appear on screen.

A concern was brought up regarding the addresses being suppressed (SB 49) and not displayed on screen while doing a search on the Internet. Wayne (SAIC) will set the system up to accept an address search without having the address appear on screen.

Issue of rejecting an electronic filing because filer intentionally left out a mandatory field that they did include on paper. How soon will discrepancy be noted and how will Secretary of State deal with corrections? Documents filed electronically will not be modified by the Secretary of State's office. If a document is filed with information missing, a rejection letter will be issued by Secretary of State's office. The Secretary of

State's office is required to post the filing as submitted via on-line. In most cases, if critical information is missing, the transmission will indicate the filing is unacceptable. The filings will be posted in date order. i.e., most recent to oldest.

If a filer needs to make an amendment on documents filed, filer will need to provide a complete new filing, therefore making the amendment the most recent filing available which will enable user to view the original plus the amendment.

Larry of Senate Elections Committee brought up the issue of SB 1024 requiring SOS to maintain on-line up to date and accurate list of the committee names and ID numbers. David Hulse explained that the legacy system is currently set up to provide ID numbers if searching by name of a committee.

Another issue brought up was how the major donors would be listed on-line. Answer is by Form 461, which will be on the Internet site.

The Secretary of State's Office will provide two standardized formats; CAL and X12. One will be in a "tab" format to enable use for spreadsheet and databases, and the other will be a "facsimile" format, which will show up as though it would be a regular paper filing. Both are published on the SOS web site as a standard format.

Clarification of the term "raise the bar" - meaning the ability to provide information at a higher level of technology.

Kim Alexander from California Voter Foundation – requested SOS provide an approved software package that will encourage voluntary filing. It is anticipated that a current list of vendors who will be participating in the electronic filing will soon be published after we've certified them.

The idea is to make this system user friendly for public, while providing advanced queries for the more advanced users by way of drop-down menu.

Users anxious to incorporate contributor codes – major donors and lobbyist reports already require nature and interest codes; will have "individual", "committee", "other" as distinctions for contributor codes.

Group wants to be sure we include with our site the "find your legislator" ability that's on the Elections Division, CVF, Legislature's, and many other sites. PRD indicated we will definitely include that web site link.

Caren reminded everyone that the purpose of this meeting is to focus on the query options that the users would like to have available to them as we are in the process of developing the queries in build one. Caren also requested that everyone put together a "wish list" of the types of queries that the users would like to see available and e-mail them to David Hulse. SOS will put together a list of queries that are currently anticipated and post them on the web site.

Important dates to remember:

Begin accepting test filings – Late September 1999

Development of disclosure queries & interface – September 1999 – February 2000

First electronic campaign filing, 1st pre-election filing by January 27, 2000 (period covering January 1, 2000 to January 22, 2000)

First lobbyist electronic filing – May 1, 2000 (First Quarterly Report - period ending March 31, 2000) by May 1, 2000

Contacts

◆ David Hulse, PRD Project Manager

dhulse@ss.ca.gov

(916) 653-7043

FAX (916) 653-5045

◆ Steve Kawano, IT Project Manager

skawano@ss.ca.gov

(916) 653-2744

Meeting adjourned 12:00 p.m.

Respectfully submitted,

Joyce Geerling

Executive Assistant, Political Reform Division